

This chapter describes the state's Records Management Program, statutory requirements, and services.

<b>PROGRAM PURPOSE</b>	<b>1600</b>
<b>TERMS AND DEFINITIONS</b>	<b>1601</b>
<b>STATUTORY AUTHORITY</b>	<b>1602</b>
<b>ANNUAL REPORT TO THE GOVERNOR</b>	<b>1603</b>
<b>AGENCY RESPONSIBILITIES</b>	<b>1604</b>
<b>Records Management Analyst or Manager</b>	<b>1605</b>
<b>Role of the Interagency Support Division</b>	<b>1606</b>
<b>Role of the Audit Section, DGS</b>	<b>1607</b>
<b>Role of the Secretary of State</b>	<b>1608</b>
<b>FILING EQUIPMENT</b>	<b>1609</b>
<b>Supplies</b>	<b>1610</b>
<b>RECORDS RETENTION SCHEDULE PROGRAM</b>	<b>1611</b>
<b>Records Inventory</b>	<b>1612</b>
<b>Records Appraisal and Scheduling</b>	<b>1613</b>
<b>Recommended Retention Periods</b> <b>Personnel Records</b> <b>Fiscal Records</b> <b>Information Technology</b>	<b>1614</b>
<b>Records Retention Schedules</b>	<b>1615</b>
<b>Approving the Records Retention Schedule</b>	<b>1616</b>
<b>Updating and Amending the Records Retention Schedule</b>	<b>1617</b>
<b>RECORDS STORAGE AND SERVICES</b>	<b>1618</b>
<b>Transfer</b>	<b>1619</b>
<b>Records Request</b>	<b>1620</b>
<b>Vault Storage of Vital (Essential) Records</b>	<b>1621</b>
<b>State Archives</b>	<b>1622</b>
<b>Departmental Records Storage Facilities</b>	<b>1623</b>

(Continued)

**SAM—RECORDS MANAGEMENT**

**CHAPTER 1600 INDEX (Cont. 1)**

(Continued)

<b>RECORDS OF A DISBANDED FUNCTION OR PROGRAM</b>	<b>1624</b>
<b>DESTRUCTION OF RECORDS</b>	<b>1625</b>
<b>RECORDS MANAGEMENT INFORMATION, POINT OF CONTACT &amp; ADDRESS</b>	<b>1626</b>

**PROGRAM PURPOSE**  
(Reviewed 12/13)

**1600**

The State of California Records Management Program (RMP) was established to apply efficient and economical methods to create, use, maintain, retain, preserve, and dispose of state records, including those on electronic media. Required procedures and processes and other useful information are contained in supplemental state records management handbooks, guidelines and factsheets made available to ensure the statutory requirements and objectives of the state's RMP are met.

**TERMS AND DEFINITIONS**  
(Revised 12/13)

**1601**

Terms that define a type-of- record are listed under the heading “Record.” Terms that define the type of equipment are listed under the heading “Equipment.”

**STATUTORY AUTHORITY**  
(Revised 12/13)

**1602**

The State of California Records Management Program. The State Records Management Act contained in Government Code Sections 14740-14774 requires the Director of the Department of General Services (DGS) to:

"Establish and administer, in the executive branch of government, a records management program which will apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of state records."

The Director of DGS has assigned the development and implementation of the state's RMP to the Interagency Support -Division (ISD), California Records and Information Management (CalRIM). The program covers the complete life cycle of the recording of state business.

Agency Records Management Program. Government Code 14750 requires the head of each state agency to establish and maintain an active, continuing program for the economical and efficient management of the records and information practices of the agency.

Disposal of Records. Government Code 14755(a) requires that no record shall be destroyed or otherwise disposed of by any agency of the state, unless it is determined by the Director of DGS, that the record has no further administrative, legal, or fiscal value and the Secretary of State has determined that the record is inappropriate for the preservation in the state archives.

Government Code 14755(b) requires the Director of DGS, shall not authorize the destruction of any record subject to audit until the Director has determined that the audit has been performed.

See Government Code Section 11126.1 regarding Public Records.

**ANNUAL REPORT TO THE GOVERNOR**  
(Revised 12/13)

**1603**

Effective September 28, 2012, the Annual Report to the Governor was abolished per [SB 71](#).

*[SEC. 67. Article 5 (commencing with Section 14760) of Chapter 5 of Part 5.5 of Division 3 of Title 2 of the Government Code is repealed.]*

**AGENCY RESPONSIBILITIES**  
(Revised 12/13)

**1604**

Although not all inclusive, some of the more pertinent responsibilities are:

1. Send all requested reports to CalRIM.
2. Dispose of, or recycle obsolete records in accordance with approved and current Records Retention Schedules.
3. Transfer the custody of records appropriately when a program or function is discontinued, by updating or revising the records retention schedule.

**RECORDS MANAGEMENT ANALYST OR MANAGER**  
(Revised 12/13)

**1605**

It is the job of each agency's Records Management Analyst to work with CalRIM, and the State Records Center (SRC).

The agency's Records Management Analyst must:

1. Coordinate the agency's records management program.
2. Certify that the agency is complying with the Records Management Act and Section 16111 of SAM.
3. Answer questions from CalRIM.
4. Act as liaison between your agency and CalRIM.
5. Schedule CalRIM training for people who have records management duties.
6. Review and approve agency records retention schedules prior to submission to CalRIM.
7. Review and approve agency destruction of records stored at the SRC, or those records transported to the SRC.
8. Review and approve purchase or rental of filing equipment, or shredders.
9. Be responsible for the reports required by ISD.
10. Distribute announcements of records management activities.

**ROLE OF THE INTERAGENCY SUPPORT DIVISION**  
(Revised 12/13)

**1606**

The State Records Management Act identified in SAM Section 1602 requires ISD to:

1. Establish standards and procedures to carry out the records management program.
2. Help agencies to:
  - a. Develop programs to manage forms, reports, correspondence, directives, files, and other forms of electronic media.
  - b. Develop programs to manage retention, transfer, and disposal of records.
3. Develop general retention guidelines for records that are common to most state agencies.
4. Review and approve records retention schedules submitted by agencies.
5. Provide storage sites for the storage and handling of semi-active and inactive records.
6. Oversee the transfer of custody of records when a function or program ends.
7. Provide records management training and instruction.
8. Receive reports from agencies to evaluate their records management programs and progress.
9. Provide guidance and assistance to agencies on requests to purchase or rent destruction, filing, or imaging equipment.
10. Perform periodic on-site reviews of agency records management programs as requested

**ROLE OF THE AUDIT SECTION, DGS**  
(Reviewed 12/13)

**1607**

The Audit Section of DGS conducts periodic audits of state agencies' records management practices. These audit reports are provided, with recommendations, to the agency and to CalRIM.

**ROLE OF THE SECRETARY OF STATE**  
(Revised 12/13)

**1608**

The Secretary of State shall:

1. Review records retention schedules to identify records which have historical and research value.
2. Keep these historical records and make them available to agencies and the public for reference and research under the provisions of the California Public Records Act and Information Practices Act.

**FILING EQUIPMENT**

**1609**

(Reviewed and Renumbered 12/13)

Vertical Shelf Files, Office Type (Open Shelf). Vertical shelf filing is the most efficient type and is the state's standard. Records are stored on shelves in rows, instead of in drawers. When planning a file system determine if it is feasible and economical to replace current files with shelf file systems.

**SUPPLIES**  
(Revised 12/13)

**1610**

**Records Storage Containers:**

Clean cardboard cartons are required for the storage of inactive records shipped to and stored in the SRC.

Box dimensions: height – 10”, width – 12”, depth – 15” (Accommodates letter and legal size files)

Only clean unused boxes will be accepted for the storage of inactive records.

**RECORDS RETENTION SCHEDULE PROGRAM**  
(Revised 12/13)

**1611**

Each agency must establish a Records Retention Schedule Program consistent with state and agency statutory requirements. The Records Retention Handbook implements statutory requirements and supplements information in SAM 1600. The Handbook covers specific procedures and areas necessary to ensure that all records produced, maintained, or disposed of by the agency are properly and timely acted upon.

**RECORDS INVENTORY**

**1612**

(Reviewed & Renumbered 12/13)

Each agency must inventory its records at least once every five years using Records Inventory Worksheet form, STD. 70. See the Records Retention Handbook for specific guidelines on how to prepare and conduct the inventory.

**RECORDS APPRAISAL AND SCHEDULING****1613**

(Reviewed &amp; Renumbered 12/13)

Federal Programs. If an agency is involved in a federal program, it must also follow any federal rules and guidelines when reviewing, appraising, or scheduling records.

Significant California Government and Civil Codes that affect records:

1. The Information Practices Act of 1977, beginning at Civil Code Section 1798, places specific requirements on state agencies when they collect, use, maintain, and disseminate information about individuals. This Act also comes into play when determining retention periods and disposal methods. In particular, consider the following sections of the Act:
  - a. Civil Code Section 1798.14. This section requires agencies to maintain information about individuals in terms of relevance and necessity.
  - b. Civil Code Section 1798.24. This section sets conditions under which information about individuals can be disclosed to third parties.
2. The California Public Records Act, Government Code 6250 details what information is available to the public and what are not, public records open to inspection, response time guidelines, and regulations governing procedure.

**RECOMMENDED RETENTION PERIODS****1614**

(Revised 12/13)

CalRIM provides recommended retention periods for: Records Management, Personnel and Payroll, Delegated Testing, Fiscal, Information Technology, Administrative, e-mail and records that are common to most offices. Use them when setting up your Records Retention Schedules form, STD 73. For the recommended retention periods, visit the section “Recommended General Records Retention” on the CalRIM Website at:  
<http://www.dgs.ca.gov/osp/Programs/CalRIM.aspx>.

**PERSONNEL RECORDS**  
(Revised 12/13)

**1614**

Most of the general retention periods for personnel records were developed by the Personnel Officers Council or the Personnel Assistance Association. They are based upon the experience of many agencies, and take into account the length of time copies of these documents are kept by the State Personnel Board. You are encouraged to notify CalRIM about any laws, policies, or regulations that may impact the retention of personnel records.

**FISCAL RECORDS**  
(Revised 12/13)

**1614**

The general retention periods for fiscal records are based upon the experience of many agencies, and take into account the length of time copies of these documents are kept by the State Controller, the State Treasurer, and the Department of Finance. These agency records are available for your use.

It is not practical to establish general retention periods for such records as General Journal, General Ledger, and various trust documents including cash trust checks. Although these are widely used, each agency must evaluate their retention periods in terms of its own needs. When doing so, consider any statutes of limitations.

**INFORMATION TECHNOLOGY**  
(Revised 12/13)**1614**

These guidelines were developed using the knowledge and background of subject matter experts and Records Management professionals. They are presented for your reference in establishing retention standards for your program records. These guidelines need to be considered in context with advice from your agency counsel. Should you decide that a different retention is necessary for your program, please communicate these changes to the CalRIM Program staff. In any event, your records retention strategy needs to be well documented, closely followed and available for examination should the opportunity for litigation occur.

**RECORDS RETENTION SCHEDULES**

**1615**

(Revised 12/13)

After you complete the Records Inventory (STD 70), you must list your records on a Records Retention Schedule, STD. 73. This form is used as a basis for the designation of records to be retained, transferred, or destroyed in a particular records series. It also serves to identify vital, confidential, and public records.

**APPROVING THE RECORDS RETENTION SCHEDULE**

**1616**

(Revised 12/13)

The schedule is approved by CalRIM and reviewed by the State Archives. You can dispose of your records according to your schedule without any additional approval from CalRIM for five years, or until you make revisions to your schedule, whichever occurs first. Reviewing and approval authority and amending records retention schedules procedures are further outlined in the Records Retention Handbook.

**UPDATING AND AMENDING THE RECORDS RETENTION SCHEDULE**  
(Revised 12/13)

**1617**

Always update retention schedules when changes impact keeping or disposing of agency records. Records retention schedules must be revised and updated at least once every five years after the required inventory and appraisal process.

To amend or delete items from records retention schedules, follow the procedures reflected in the Records Retention Handbook. Amendments made during the five-year retention schedule cycle are not classified as revisions and the original Approval Number/Expiration Date is retained.

**RECORDS STORAGE AND SERVICES**

**1618**

(Revised 12/13)

State Records Center (SRC) Services. SRC can provide yearly savings to agencies that deposit inactive records as an extension of their files. Refer to the Records Retention Handbook for further guidance and information.

The **SHIPPING** address for sending records to the SRC is:  
3240 Industrial Boulevard  
West Sacramento, CA 95691

The **MAILING** address for correspondence, requests, re-files, etc. is:  
1501 Cebrian Street  
West Sacramento, CA 95691

Departmental Record Storage Facilities. Agencies may not establish and/or create new places to store their records unless written approval by CalRIM is first obtained.

**TRANSFER**  
(Revised 12/13)

**1619**

To transfer of your records to the SRC you must first fill out a Records Transfer List, STD. 71. Send the original to the SRC. You must have their approval before you send the records.

In order for an agency to transfer records to State Archives all the following criteria must be met:

1. The State Archives has flagged records on your records retention schedule.
2. The flagged records are in your office or departmental storage.
3. The records have reached the end of their retention period.

**RECORDS REQUEST**  
(Revised 12/13)

**1620**

An agency may withdraw their own records from the SRC at any time. If you want to view a record that has been placed in storage by a different agency, you must first get the other agency's permission.

To check out a stored record, fill out a SRC Reference Request STD. FORM 76, and send it to the SRC. To make an emergency request, call the SRC.

When you no longer need the record, return it to the SRC with one copy of the STD. 76 still attached to the record.

**VAULT STORAGE OF VITAL (ESSENTIAL) RECORDS****1621**

(Revised 12/13)

The State Records Center will store microfilm, CD's, or other electronic media for state agencies in a climate controlled vital records protection vault. If any agency needs to store microfilm records longer than 10 years, silver halide film must be used. Records to be kept fewer than 10 years may be on diazo, vesicular, or dry silver film. Do not store silver film with any other type of film. After microfilm has been stored in the vault for over two years, agencies should inspect it annually. Other media should be inspected and migrated as necessary. Contact the State Records Center for procedures on how to transfer, store, inspect, or retrieve records from the vault. Vault storage does not include viewing equipment. Deliveries to/from the vault are handled by the SRC. All vital records must be listed on a current and approved records retention schedule.

**STATE ARCHIVES**  
(Revised 12/13)

**1622**

The State Archives keeps historical records permanently for reference and research. Archival analysts evaluate agency records and consult with the agencies to determine which records met the State's long-term information needs.

**DEPARTMENTAL RECORDS STORAGE FACILITIES**  
(Reviewed and Renumbered 12/13)

**1623**

Agencies may not establish and/or create new places to store their records without prior written approval by CalRIM.

**RECORDS OF A DISBANDED FUNCTION OR PROGRAM**

**1624**

(Revised 12/13)

When a program or function ends, the agency must transfer the custody of the program's records. Normally the custody is transferred to another group within the department, board, commission, or council. The agency must also send a copy of a revised records retention schedule to CalRIM. This will notify CalRIM that records have been transferred.

If an entire organization within one of the agencies is abolished, custody of the records must be reassigned by the Agency. Send a notice of the transfer of custody to CalRIM. The notice must be signed by staff that represents both the transferring and the receiving organizations. It must include the name, title, address, and telephone number of the person who will be responsible for making decisions about the records. When the records are sent to the new organization, they must be accompanied by the revised records retention schedules, transfer lists, and any other documentation dealing with the management of the records being transferred.

When an entire organization is abolished by legislation, custody for the records should be assigned in the "sunset" legislation.

When an abolished program is not part of a larger department or Agency and no plan for the records was made in the "sunset" legislation, call CalRIM for assistance.

**DESTRUCTION OF RECORDS****1625**

(Revised 12/13)

**Confidential Records** - The Document Destruction Center (DDC) provides for the destruction of confidential records. However, each state agency must still make sure their obsolete records are disposed of in accordance with laws, rules, and State policies. In Sacramento, DDC staff will be used to witness the destruction of confidential records. If an agency needs to destroy accountable forms, arrangements must be made with the DDC to ensure witnessing by appropriate agency personnel.

Agencies must send a State employee to witness confidential destruction when using the services of private contractors.

**Non-confidential Records**- To destroy your non-confidential records, contact the-DDC.

If you use the DDC to destroy your obsolete records, you do not need to fill out a Property Survey Report, STD. 152.

**RECORDS MANAGEMENT INFORMATION, POINT OF CONTACT & ADDRESS**

**1626**

(Revised 12/13)

Available Records Management Guidance and Assistance. CalRIM has written helpful records management program guidelines, factsheets, and/or handbooks to assist agencies to administer their program. Copies may be obtained from the agency's Records Management Coordinator or from CalRIM.

- |  |   |
|--|---|
| 1. Records Retention Handbook                          | 4. Vital Records Protection and Disaster Recovery                           |
| 2. Records Retention Schedule<br>Detailed Instructions | 5. Electronic Records Management Handbook                                   |
| 3. Perpetual Retention Type Records                    | 6. Guidelines for Conducting a “Preliminary File Purge”<br>of Paper Records |

The following are contacts for additional assistance in the areas of Records and Integrated Document Management information or literature.

Ramona Gutierrez, CalRIM	<a href="mailto:ramona.gutierrez@dgs.ca.gov">ramona.gutierrez@dgs.ca.gov</a>	(916) 322-1728
Javier C. Sanchez, CalRIM	<a href="mailto:javier.sanchez@dgs.ca.gov">javier.sanchez@dgs.ca.gov</a>	(916) 322-1729
Jenny Chakonova, CalRIM	<a href="mailto:jenny.chakonova@dgs.ca.gov">jenny.chakonova@dgs.ca.gov</a>	(916) 324-1830
Roman Zeltvay, SRC	<a href="mailto:roman.zeltvay@dgs.ca.gov">roman.zeltvay@dgs.ca.gov</a>	(916) 375-7427

You may also visit the CalRIM Website: <http://www.dgs.ca.gov/osp/Programs/CalRIM.aspx>

**Department of General Services  
California Records and Information Management  
344 North 7<sup>th</sup> Street  
Sacramento, California 95814**